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FACSIMILE TRANSMISSION

TO: USPTO
Art Unit 2874

FROM: Matthew E. Connors

ATTN: Tina Lin

FAX NO: 703-746-8691

DATE: October 8, 2003

RE: Ser. No. 09/996,462

NO. OF PAGES TO FOLLOW: 16

REMARKS:

Ms. Lin,

As you requested, attached is a true copy of the Amendment and associated documents filed in this matter on July 29, 2003.

Please let me know if you need any further information. Thank you.

Matthew E. Connors
Reg. No. 33,298

The documents transmitted by this facsimile are intended for the use of the individual or the entity to which it is addressed and may contain information that is privileged, confidential, and exempt from disclosure under applicable law. If the reader of the message is not the intended recipient, or the employee or agent responsible for delivering this document to the intended recipient, you are hereby notified that any dissemination, distribution, or copying of this communication is strictly prohibited. If you have received this communication in error, please notify us immediately by telephone and return the original facsimile to us at the above address via the Postal Service. Thank you.

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Oct 8 2003 11:13 P.02

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Commissioner of Patents

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7/29/2003

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Matthew E. Conway

SECURITY FEATURES INCLUDED. DETAILS ON BACK.

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Mailed on July 29, 2003

MIT.9066

Enclosed please find the following in re:
U.S. Patent Appln. Ser. No. 09/996,462
Lim et al.
Filed: 11/28/2001

- 1) Amendment
- 2) Amendment Transmittal
- 3) \$55.00 check for 1 month extension of time

DUE DATE: 08/07/2003

MEC/ecp

This Paper Was
Received By PTO On:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Lim et al.
Serial No.: 09/996,462 Group No.: 3644
Filed: November 28, 2001 Examiner: T.M. Lin
For: THREE-DIMENSIONAL HIGH TRANSMISSION CAVITY DEVICES FOR COMPACT
HIGH INDEX CONTRAST BEND SPLITTERS AND RESONATORS

Mail Stop Amendment
Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

AMENDMENT TRANSMITTAL

1. Transmitted herewith is an amendment for this application.

STATUS

2. Applicant is
☒ a small entity - verified statement:
— attached.
☒ already filed.
— other than a small entity.

CERTIFICATE OF MAILING (37 CFR 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United State Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Mail Stop Amendment, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date:

07/29/2003

Emily C. Porell
(Type or print name of person mailing letter)

Emily C. Porell
(Signature of person mailing paper)

Page 1 of 4

EXTENSION OF TERM

NOTE: "Extension of Time in Patent Cases (Supplement Amendments)—If a timely and complete response has been filed after a Non-Final Office Action, an extension of time is not required to permit filing and/or entry of an additional amendment after expiration of the shortened statutory period.

If a timely response has been filed after a Final Office Action, an extension of time is required to permit filing and/or entry of a Notice of Appeal or filing and/or entry of an additional amendment after expiration of the shortened statutory period unless the timely-filed response placed the application in condition for allowance. Of course, if a Notice of Appeal has been filed within the shortened statutory period, the period has ceased to run." Notice of December 10, 1985 (1061 O.G. 34-35).

NOTE: See 37 CFR 1.645 for extensions of time in interference proceedings and 37 CFR 1.350(c) for extensions of time in reexamination proceedings.

3. The proceedings herein are for a patent application and the provisions of 37 CFR 1.136 apply

(complete (a) or (b) as applicable)

(a) X Applicant petitions for an extension of time under 37 CFR 1.136 (fees: 37 CFR 1.17(a)-(d) for the total number of months checked below:

Extension (months)	Fee for other than <u>small entity</u>	Fee for <u>small entity</u>
<u>X</u> one month	\$ 110.00	\$ 55.00
— two months	\$ 400.00	\$200.00
— three months	\$ 920.00	\$460.00
— four months	\$1,440.00	\$720.00
— fifth month	\$1,960.00	\$980.00

Fee \$55.00

If an additional extension of time is required please consider this a petition therefor.
(check and complete the next item, if applicable)

— An extension for _____ months has already been secured and the fee paid therefor of \$_____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ 55.00

OR

(b) — Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition for extension of time.

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FEE FOR CLAIMS

4. The fee for claims (37 CFR 1.16(b)-(d)) has been calculated as shown below:

(Col. 1)	(Col. 2)	(Col. 3)	SMALL ENTITY			OTHER THAN A SMALL ENTITY	
CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT ADDIT. EXTRA	RATE	FEE	OR	ADDIT. RATE	FEE
TOTAL	MINUS	=	x 9=	\$	x18=	\$	
INDEP.	MINUS	=	x 42=	\$	x84=	\$	
FIRST PRESENTATION OF MULTIPLE DEP. CLAIM			+140=	\$	+\$280=	\$	
			TOTAL ADDIT. FEE \$		OR FEE	TOTAL ADDIT. \$	

If the entry in Col. 1 is less than entry in Col. 2, write "0" in Col. 3.
 If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, enter "20".
 If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, enter "3".
 The "Highest No. Previously Paid For" (Total or Indep.) is the highest number found in the
 appropriate box in Col. 1 of a prior amendment or the number of claims originally filed.

WARNING: "After final rejection or action (¶ 1.113) amendments may be made cancelling claims or complying with any requirement of
 form which has been made." 37 CFR ¶ 1.116(a) (emphasis added).

(complete (c) or (d) as applicable)

- (c) ☒ No additional fee for claims is required.

OR

- (d) ☐ Total additional fee for claims required \$ _____.

FEE PAYMENT

5. ☒ Attached is a check in the sum of \$55.00.
☐ Charge Account No. _____ the sum of \$ _____
 A duplicate of this transmittal is attached.

FEE DEFICIENCY

NOTE: If there is a fee deficiency and there is no authorization to charge an account, additional fees are necessary to cover the additional time consumed in making up the original deficiency. If the maximum, six-month period has expired before the deficiency is noted and corrected, the application is held abandoned. In those instances where authorization to charge is included, processing delays are encountered in returning the papers to the PTO Finance Branch in order to apply these charges prior to action on the cases. Authorization to charge the deposit account for any fee deficiency should be checked. See the Notice of April 7, 1986, (1065 O.G. 31-33).

6. X If any additional extension and/or fee is required, charge Account No. 19-0079

AND/OR

X If any additional fee for claims is required, charge Account No. 19-0079


SIGNATURE OF ATTORNEY

Reg. No.: 33,298

Tel. No.: (617) 426-9180
Extension 112

Matthew E. Connors
Type or print name of attorney

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